

Corrective Action Plan Status Report a/o March 2009

Auditor of Public Accounts (APA) Audit of Commonwealth IT Governance & VITA Operations, 4/06

20 of the 21 planned corrective actions are complete. The current status of the 21 corrective actions is as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 20 objectives (95.2%) (Completed)
- ❖ **Yellow** - 1 objective (4.8%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Address Conflict in Dual CIO Roles	10/06	Green	• Complete.
2. Continue to Support COV's Roadmap	7/06	Green	• Complete.
3. ITIB & CIO Execute an IT Strategic Communications Plan	7/06	Green	• Complete.
4. Improve Agency Strategic Planning & IT Investment Decision Process	11/06	Green	• Complete.
5. Ensure Agencies Understand How Agency IT Strategic Planning Process Supports the COV Plan	7/06	Green	• Complete.
6. Change IT Project Submission Deadline	6/07	Green	• Complete.
7. Include Life Cost of Projects	9/07	Green	• Complete.
8. Simplify RTIP Project Listing	1/07	Green	• Complete.
9. RTIP Enhancement	2/07	Green	• Complete.
10. Identify Alternative IT Project Funding	7/06	Green	• Complete.
11. Hire PMD Staff	4/07 10/07	Green	• Complete.
12. Fix Ops. & Gov. Roles Conflicts	9/06	Green	• Complete.
13. Improve PMD Effectiveness & Efficiency	4/07 10/07	Green	• Complete.
14. Improve PMD Oversight Policies & Procedures	2/07	Green	• Complete.
15. Establish Written Criteria for CIO Project Recommendations	11/06	Green	• Complete.
16. Implement Security Operating Plan	10/06	Green	• Complete.
17. Develop Timeline for Security Standards	10/06	Green	• Complete.
18. Adopt Uniform Infrastructure Procedure	6/08 3/09 10/09	Yellow	• 3 of 12 Priority 1 chapters & with 3 of 12 Priority 2 chapters are complete. The current schedule shows the procedures manual will be written by July 09. Estimate October adoption based on past performance. (Fred Duball)
19. Provide COOP Info. to NG & Develop Plan to Complete COOP	1/07	Green	• Complete.
20. Dev. Plan to Complete Incident Mgmt. Program incl. Comm. Security Risks	12/06	Green	• Complete.
21. Revise & Require SOW Template to Document Specific Deliverables	8/06	Green	• Complete.

APA Audit of VITA Service Management Organization, 4/08

2 of the 4 planned corrective actions are complete. The current status of the 4 corrective actions is as follows:

- ❖ **Blue** - 1 objective (25%)
- ❖ **Green** - 2 objectives (50%)
- ❖ **Yellow** - 1 objective (25%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Contingency for Procedures Manual Deliverable	7/08	Green	• Complete.
2. Completion of 56 DCD's for Performance Credit Eligible SLA's with NG on 7/1/08 at risk	7/08 10/08 2/09 7/09	Yellow	• 4 Voice & Video DCDs due on 7/1/08 remain outstanding. Working through contractual issues. Estimate completion in July. (Fred Duball)
3. Clarify & communicate RFS process	7/08 11/09	Green	• Year 1-2 redesign completed & communicated (process, roles, & responsibilities). Initial redesign for year 3-10 service requests presented by NG to VITA SMO. Validation of prior redesign & future state requirements in process including subsequent communication. (Fred Duball)
4. Improve analysis & reporting of VITA service issues to the Board	10/08	Blue	• Complete.

APA Audit of the VITA Service Management Organization, Interim Review of IT Partnership, 3/09

The current status of the 4 corrective actions is as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 4 objectives (100%)
- ❖ **Yellow** - 0 objectives (0%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Continue to Apply Resources to Completing the Comprehensive Procedures Manual	9/09	Green	• 6 of the 24 Chapters have been approved Current schedule shows completion in 07/09, but SMO forecasts the need for two additional months based on experience. (Fred Duball)
2. Enforce Timely Delivery of Milestones	12/09	Green	• Highlight weekly to NG Relationship Manager proximity to milestone completion dates & status of Acceptance Criteria & Acceptance Test Plans Assess milestone deficiencies & determine financial implications in conjunction with any other partnership issues (Fred Duball)
3. Develop Realistic Schedule to Re-base-lin Resource Units	7/09	Green	• Executing to initial schedule developed 2/20/09. Estimated completion of all re-base lining activities (i.e. DCD development, Acceptance Criteria & Test Plans, including testing of Resource Units to validate baselines & ongoing measurements) scheduled

VITA Corrective Action	Due Date	Status	Comments
			<ul style="list-style-type: none"> for 7/14/09. Assessing performance to plan on weekly basis Assess performance to plan & determine financial implications in conjunction with any other partnership issue (Fred Duball)
4. Complete DCDs for Service Level Agreements	10/09	Green	<ul style="list-style-type: none"> Contractual & technical issues are being addressed. Estimate completion 10/09 (Fred Duball)

APA Report on Performance Audit as of 6/30/07, 7/08

3 of the 5 planned corrective actions are complete. The current status of the 5 corrective actions is as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 5 objectives (100%)
- ❖ **Yellow** - 0 objectives (0%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Analyze IV&V Results to Develop or Change IV&V Process	3/09	Green	<ul style="list-style-type: none"> Complete.
2. Analyze & Revise the IV&V Standard & Templates	6/09	Green	Design & implement in conjunction with APA Reference 3. Activities: <ul style="list-style-type: none"> Review available research & current best practices for public sector IV&V- COMPLETE. Review & analyze tasks to identify duplicate efforts - COMPLETE. Modify IV&V templates – In Process. If necessary, revise PM Standard - COMPLETE. Communicate change to stakeholders – Not Started. (Jerry Simonoff)
3. Implement Validation as part of IV&V Efforts	6/09	Green	Design & implement in conjunction with APA Reference 2. Activities: <ul style="list-style-type: none"> Review available research & current best practices for public sector IV&V- COMPLETE. Evaluate overall impact of reduced verification & use of 3rd parties to perform validation tasks – In Process. Identify additional validation tasks & establish criteria for when those tasks should be included in an IV&V review – In Process. Modify IV&V templates – Not Started. If necessary, revise PM Standard - COMPLETE. Communicate change to stakeholders – Not Started. (Jerry Simonoff)
4. Develop Standards for Project Documentation	3/09	Green	<ul style="list-style-type: none"> Complete.
5. Properly Complete Employment Eligibility Verification Forms	7/08	Green	<ul style="list-style-type: none"> Complete.

Department of Accounts Accounting and Financial Reporting Quality Assurance Review, 12/08

The current status of the 4 corrective actions is as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 4 objectives (100%)
- ❖ **Yellow** - 0 objectives (0%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. CARS Reconciliations	3/09	Green	<ul style="list-style-type: none"> Modify processes to ensure that reconciliation is completed on time & certification is completed by the due date. If we expect to miss the due date, obtain approval from DOA for an extension. Complete (Jim Roberts)
2. Attachment 16 (GASB 33 – Expenditure & Revenue Analysis)	3/09	Green	<ul style="list-style-type: none"> Individuals responsible for preparation & review of attachments attend all training provided by DOA & review prior year workpapers & current year instructions as part of the process. No additional action is necessary. Complete (Jim Roberts)
3. Attachment 22 (Receivables as of June 30)	3/09	Green	<ul style="list-style-type: none"> Individuals responsible for preparation & review of attachments attend all training provided by DOA & review prior year workpapers & current year instructions as part of the process. No additional action is necessary. Complete (Jim Roberts)
4. Inaccurate Attachments & Inadequate Attachment Process	3/09	Green	<ul style="list-style-type: none"> Individuals responsible for preparation & review of attachments attend all training provided by DOA & review prior year workpapers & current year instructions as part of the process. No additional action is necessary. Complete (Jim Roberts)

Internal Audit Services (IAS) Federal Tax Information Safeguard, 4/08

7 of the 8 planned corrective actions are complete. The current status of the 8 corrective actions is as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 7 objectives (87.5%) (Completed)
- ❖ **Yellow** - 1 objective (12.5%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Assign Accountability of Oversight to Monitor the FTI Process	5/08	Green	<ul style="list-style-type: none"> Complete.
2a. Amend Iron Mountain Contract & Ensure Access Lists are Referenced	6/08 7/08	Green	<ul style="list-style-type: none"> Complete.
2b. Amend Iron Mountain Contract & Ensure Access Lists are Referenced	6/08	Green	<ul style="list-style-type: none"> Complete.
3. Implement Procedures to Retain Signed Disclosure Forms & Verify Annual Training	7/08	Green	<ul style="list-style-type: none"> Complete.
4. Update the 2007 MOA Between VITA & TAX	8/08 3/09	Yellow	<ul style="list-style-type: none"> TAX continues to evaluate the final IRS report & address findings. Not currently ready for VITA to provide input into the MOA. (Debbie Secor)

VITA Corrective Action	Due Date	Status	Comments
	1/10		
5. Exchange Authorization Lists with Broad Street & TAX Timely	7/08	Green	• Complete.
6. Distribute & Enforce Procedures for FTI Movement & Custody of All FTI Tapes	7/08	Green	• Complete.
7. Update Records Survey to Include FTI Records	8/08 10/08	Green	• Complete.

IAS Telework Review, 6/08

4 of the 7 planned corrective actions are complete. The current status of the 7 corrective actions is as follows:

- ❖ Blue - 0 objectives (0%)
- ❖ Green - 7 objectives (100%)
- ❖ Yellow - 0 objectives (0%)
- ❖ Red - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Designate a Telework Coordinator & Incorporate Telework Training	7/08	Green	• Complete.
2. Revise & Expand <i>VITA Teleworking Policy & Procedure</i>	1/09	Green	• Complete.
3a. Align VITA Policy & Practice for Network Connection & Supporting Equipment Provisions	1/09	Green	• Complete.
3b. Align VITA Policy & Practice for Network Connection & Supporting Equipment Provisions	1/09	Green	• VITA and NG practices through Telecommunications Customer Service have been aligned & the management review of VITA controlled devices is complete. (Jim Roberts)
4. Update Essential Designation Categories for Job Description	11/08	Green	• Complete.
5. Accurately Reflect Telework Statistics	3/09	Green	• Telework statistics are collected, submitted in PMIS using the revised telework agreement. Updated statistics are submitted weekly for review & monitoring. (Jim Roberts)
6. Document Internal HR Telework Administration Procedures	4/09	Green	• Telework agreements are reviewed & approved by the Telework Coordinator in accordance with the policy published in February 09 on the VITA web & stored electronically for shared use. (Jim Roberts)

IAS Virginia Interactive Review, 9/08

The current status of the 6 corrective actions is as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 5 objectives (83.3%)
- ❖ **Yellow** - 1 objective (16.7%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Properly Manage General Fund Transfers	8/09	Green	<ul style="list-style-type: none"> Discussion on all financial reporting have been submitted, reviewed & completed. (Jim Roberts)
2. Seek OAG Advice on the VI Contract & Relationship	11/08 1/09 9/09	Yellow	<ul style="list-style-type: none"> OAG has reviewed contract & legislation submitted for the 2009 session. Will continue to work on this as Enterprise Applications transitions to VITA in July. (Jim Roberts)
3a. Document & Implement Processes to Execute Interagency Agreements, Including Rates & Fees	6/09 9/09	Green	<ul style="list-style-type: none"> VEAP reviews & recommends agency agreements in accordance with the Memorandum of Agreement for VITA approval & billing. Will continue to work on this as Enterprise Applications transitions to VITA in July. (Jim Roberts)
3b. Document & Implement Processes to Execute Interagency Agreements, Including Rates & Fees	6/09 9/09	Green	<ul style="list-style-type: none"> VEAP reviews & recommends agency agreements in accordance with the Memorandum of Agreement for VITA approval & billing. Will continue to work on this as Enterprise Applications transitions to VITA in July. (Jim Roberts)
3c. Document & Implement Processes to Execute Interagency Agreements, Including Rates & Fees	8/09	Green	<ul style="list-style-type: none"> Legislation has completed the approval process & will be considered with other related legislation & budget actions relating to the transfer of the VEAP Office to VITA. (Jim Roberts)
4. Document & Implement Contract Management & Oversight Processes	6/09	Green	<ul style="list-style-type: none"> Legislation has completed the approval process & will be considered with other related legislation & budget actions relating to the transfer of the VEAP Office to VITA. (Jim Roberts)

IAS Strategic Sourcing and Contract Administration Review, 12/08

The current status of the 4 corrective actions is as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 4 objectives (100%)
- ❖ **Yellow** - 0 objectives (0%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Enhance Processes Through Documenting Policies & Procedures, Implementing Quality Reviews & Training Employees	12/09	Green	<ul style="list-style-type: none"> Establishing plans to develop detail procedures as companions to new policies. (Jim Roberts)
2. Discontinue or Document & Implement a Change to the Two-Step IFB Process	12/09	Green	<ul style="list-style-type: none"> Establishing plans to develop detail procedures as companions to new policies. (Jim Roberts)

VITA Corrective Action	Due Date	Status	Comments
3. Develop & Implement a Process for Determining the Reasonableness of IFA Received	6/09	Green	<ul style="list-style-type: none"> Establishing plans to develop written procedures for assessing IFA earned. (Jim Roberts)
4. Update the Records Survey	9/09	Green	<ul style="list-style-type: none"> Based on limited resources, the survey will be completed by the end of the fiscal year. (Jim Roberts)

IAS Service Management Organization Review, 12/08

The current status of the 7 corrective actions is as follows:

- ❖ **Blue** - 0 objectives (0%)
- ❖ **Green** - 6 objectives (85.7%)
- ❖ **Yellow** - 1 objective (14.3%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1. Document & Implement an Effective Risk Management Program	5/09	Green	<ul style="list-style-type: none"> Executing to plan – Program Risk Management Procedures being incorporated to the ITP Procedures Manual Assessment, recommendation & decision for separate supplier risk management delayed approximately one month. (Fred Duball)
2. Document & Implement Management Reporting Processes	6/09	Green	<ul style="list-style-type: none"> Executing to plan – Program Communications Management Procedures being reviewed by SMO for approval & inclusion to ITP Procedures Manual. (Fred Duball)
3. Document & Implement Operational Oversight Processes	10/09	Green	<ul style="list-style-type: none"> Executing to plan - Table of Contents approved on schedule. (Fred Duball)
4. Document & Implement a Policy Framework & Viable Plan to Deliver the Procedures Manual	7/09 10/09	Yellow	<ul style="list-style-type: none"> Oversight is in place NG executing late to schedule, with June delivery of the ITP Procedures Manual at risk. New estimate of 10/09. (Fred Duball)
5. Document & Improve Project Review Processes	6/09	Green	<ul style="list-style-type: none"> Executing to plan – assessment complete, consolidation in process for projects resulting from work requests &/or technology improvement initiatives within the ITP NG project delivery processes with proposed SMO monitor & control touch points to be delivered in April. (Fred Duball)
6. Implement Processes Over the Management & Oversight of VITA Managed Employees	5/09	Green	<ul style="list-style-type: none"> VITA HR has assumed ownership & accountability for Managed Employee oversight Audit & confirmation of administrative manager assignments completed Process with roles & responsibilities for maintaining assignments & recurring audits developed & implemented by VITA HR. (Fred Duball)
7. Improve Records Management Program	12/09	Green	<ul style="list-style-type: none"> New records officer assigned; service management area representatives & monthly meetings re-established Training in progress; 50% complete. (Fred Duball)

IAS Small Purchase Charge Card Program Follow-up, 2/09

The current status of the 13 corrective actions is as follows:

- ❖ **Blue** - 1 objective (7.7%)
- ❖ **Green** - 11 objectives (84.6%)
- ❖ **Yellow** - 1 objective (7.7%)
- ❖ **Red** - 0 objectives (0%)

VITA Corrective Action	Due Date	Status	Comments
1b. Identify Appropriate eVA Persons to Use SPCC	6/09	Green	• An updated policy/procedure was presented for internal review in March, 2009 that incorporates new card procedures & updated DOA requirements. Review will be completed by 6/09. (Jim Roberts)
1d. Exclude Telecommunications Vendor Payments from Calculation of Eligible Transactions & Related SPCC Compliance	10/08	Green	• Exemptions request actions have been completed and slated for annual updates. (Jim Roberts)
1e. Perform Evaluation of Desirability of a Gold Card.	3/09	Green	• Evaluation of Gold Card was conducted & was rejected for use within VITA. (Jim Roberts)
3a. Emphasize requirement to maintain SPCC purchase log & update it as each purchase is made.	3/09	Green	• Training for all cardholders & supervisors was conducted in early March, 2009 for new cards & updated DOA policy. (Jim Roberts)
4. Cardholders & Respective Supervisors Sign Employee Agreements Prior to Receiving Cards & Upon Renewal	6/09	Green	• An updated policy/procedure was presented for internal review in March, 2009 that incorporates new card procedures & updated DOA requirements. (Jim Roberts)
6. Prohibit SPCC Use for Purchasing Software Unless Written Approval Obtained from SCM in Advance & Include Prohibition in Update of VITA SPCC Policy & Procedure & Other Relevant SCM Policies & Procedures	12/09	Green	• Training for all cardholders & supervisors was conducted in early March, 2009 for new cards, updated DOA policy, & eVA use. (Jim Roberts)
7. Update & Enforce VITA Small Purchase Charge Card Program Policy & Procedure to Conform w/ Latest Version of CAPP Manual Topic 20355	6/09	Green	• An updated policy/procedure was presented for internal review in March, 2009 that incorporates new card procedures & updated DOA requirements. (Jim Roberts)
Additional Results			
1a. Modify VITA SPCC Program Policy & Procedure to Align w/ VITA Practices & CAPP Manual & Provide Training to Cardholders	6/09	Green	• An updated policy/procedure was presented for internal review in March, 2009 that incorporates new card procedures and updated DOA requirements. (Jim Roberts)
1b. Modify VITA SPCC Program Policy & Procedure to Align w/ VITA Practices & CAPP Manual & Provide Training to Cardholders	6/09	Green	• Training for all cardholders & supervisors was conducted in early March, 2009 for new cards & updated DOA policy. (Jim Roberts)
2. Update Supervisors Procedure for Handling Changed Employment Status	3/09 6/09	Yellow	• An updated policy/procedure was presented for internal review in March, 2009 that incorporates updated procedures for changed employment status. (Jim Roberts)
3. Perform Periodic Review of SPCC Restrictions	3/09	Green	• Reviews were completed for 2008 and future reviews will be performed twice a year around November & June. (Jim Roberts)
4. Provide Training for Following-up on Credits Due on SPCC's	3/09	Green	• Training for all cardholders & supervisors was conducted in early March, 2009 for new cards & updated DOA policy. (Jim Roberts)
5. Strengthen Reviews of Cardholder Activity Performed by SCM	5/09	Blue	• SCM reviews have been strengthened & include reconciliation, enforcement & cardholder communications for improvement. (Jim Roberts)